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NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION



FIELD DELEGATE AUDIT PROCESS

OVERSIGHT & COMPLIANCE BRANCH (OCB)

Presented by:

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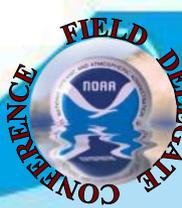
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OBJECTIVE

- Discuss the 30 day advance audit notification to the Field Delegates
- Discuss requirements list for scheduled Field Delegate audit
- Explain the In-Brief and Out-Brief process
- Explain the overall Field Delegate audit process
 - (audit checklist)
 - (audit findings)
 - (on-site/future Field Delegate training)
 - (final audit report/dissemination)
 - (Corrective Action Plan)
- Discuss scheduling of Field Delegate audits



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THIRTY (30) DAY NOTIFICATION

- OCB will send a notification to the Field Delegates 30 days prior to the scheduled audit.
- The memorandum will outline specific information regarding the upcoming audit—
 - 1) OCB's arrival date and expected dates of audit
 - 2) request for in-brief and out-brief with Field Delegate, immediate supervisor, Director, other invited attendees
 - 3) include a requirements list to be accomplished prior to OCB's arrival on site



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OCB REQUIREMENTS LIST

The OCB requirements list will consist of the following items—

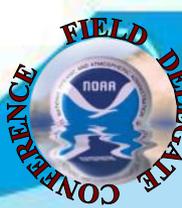
- 1) A list of Purchase Orders to be pulled prior to OCB arrival date.
- 2) A conference room to be reserved for OCB use during audit timeframe.
- 3) A list of supplies for OCB use (pens, paper, stapler, etc.).

All requested items should be readily available and preferably placed in conference room prior to OCB arrival date.



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IN-BRIEF/OUT-BRIEF PROCESS

OCB will conduct an in-brief and out-brief of the audit process—

- In-brief will be conducted with the Field Delegate, immediate supervisor, Director and other attendees on the first day of audit.
- Purpose of in-brief is to inform attendees of the following:
 - 1) overall audit process--perform audit of Purchase Orders utilizing a formal checklist of identified contracting processes
 - 2) explain one-on-one interaction between OCB team and Field Delegates during the audit which may include on-site training
 - 3) explain that the key audit findings will be furnished at the out-brief
 - 4) discuss the final audit report (what it will cover/expected release date)
 - 5) explain the Corrective Action Plan (CAP) that may be required IAW audit report



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FIELD DELEGATE AUDIT PROCESS AUDIT CHECKLIST

Audit checklist (attached) includes the following categories—

- ✓ Compliance with laws and regulations (FAR, CAR, CAM)
- ✓ Effective and efficient acquisition of products & services (acceptable acquisition practices)
- ✓ Compliance with policies utilizing sound business practices (NAHB, NAPG)
- ✓ Effectiveness of management environment (training/educational requirements, availability of acquisition references)



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Field Delegate Audit Checklist

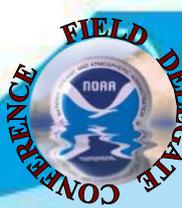
Specific Review Criteria				
No.		Yes	No	N/A
A. Compliance with Laws and Regulations				
1.	Is there a valid JOFOC for other than full and open competition and/or Brand Name Justification in file when applicable? FAR 13.106-1(b)			
2.	Did the file contain the following determinations if applicable?			
	a. Section 508 Determination/ Checklist (IT Procurements). FAR Part 39.2			
	b. For services over \$3,000, an "IT" Security Checklist CAM 1337.70			
	c. If Services, SCA Wage Determination. FAR Part 37			
	d. If Construction, Davis Bacon Act Wage Determination. FAR Part 37			
	e. If Options, written Justification for Use and Basis for Evaluation (Preaward), D&F to exercise Option (Postaward). FAR Part 17			
4.	Was price reasonableness determined in accordance with FAR Part 13?			
5.	Was the award/modification entered into the Federal Procurement Data System (FPDS)? FAR Part 4			
6.	Was price reasonableness determined on applicable modifications? FAR Part 13			
7.	Were the posting requirements in accordance with FAR 5.101?			
8.	Was Brand Name Justification posted to FBO w/the solicitation IAW FAR 5.102(a)(6) and/or posted to e-buy IAW FAR 8.405-6(d)			
9.	Were requirements broken down (split) to stay under the CO delegated authority or to avoid any requirements that applies to purchases exceeding the simplified acquisitions threshold? FAR Part 13			

Specific Review Criteria				
No.		Yes	No	N/A
10.	Have awards over \$3,000 been set-aside for Small Business? FAR Part 19			
10a.	If not set-aside for Small Business, is there a valid justification in the file dissolving the Small Business set-aside? FAR Part 19			
11.	Were the Required Sources of Supply or Services checked prior to ordering on the open market? FAR Part 8			
12.	Did the contract award contain the appropriate clauses and provisions?			
13.	Was the List of Parties Excluded from Procurement Programs (EPLS), On-Line Representations and Certifications (ORCA), Central Contractor Registration (CCR) checked prior to award? FAR Part 9			
14.	Did modifications contain proper type and authority? FAR Part 43			
14a.	If modification changed POP or delivery date, was the "expired on" field in C-Buy updated to reflect changed date?			
15.	If acquisition was a ratification to an authorized commitment, was it processed in accordance with CAM 1301.602?			
16.	Was sales/ other tax included in purchase order price? FAR Part 29?			
B. Effective and Efficient Acquisition of Products and Services				
1.	Is there a valid written authorization that describes what is to be purchased and signed by someone who has authorized requisitioning authority?			
2.	Does the file provide sufficient documentation to support the decisions made regarding contractual action?			
3.	Are modifications supported by documentation justifying the rationale for issuing modification?			
C. Compliance with Policies Utilizing Sound Business Practices				
1.	Was the requirement entered into CRequest/ CBuy?			
2.	Was a copy of the award (showing an original CO signature) in the official contract file? NAHB Part 4			
3.	Was a completed, signed Abstract of Offers in file?			
4.	Did the CO follow the proper format outlined in the NOAA Acquisition Handbook in assembling the contract file? NAHB Part 13			
D. Effectiveness of Management Environment				
1.	Does the Field Delegate meet the training and/or educational requirements to maintain warrant? CAM 1301.6			
2.	Are acquisition references readily available?			



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FIELD DELEGATE AUDIT PROCESS AUDIT FINDINGS

The audit checklist will be completed by the OCB team on each purchase order, and result in written **audit findings**.

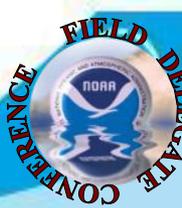
The audit findings will become the basis for—

- On-site and future training with the Field Delegates
- Out-brief discussions with Field Delegates and their superiors
- Final submission of Field Delegate audit report inclusive of an applied rating: Satisfactory, Needs Improvement, Unsatisfactory
- Follow-up audits (dictated by needs improvement or unsatisfactory rating)



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FIELD DELEGATE AUDIT PROCESS

ON-SITE/FUTURE FIELD DELEGATE TRAINING REQUIREMENTS

- The OCB team may utilize a portion of their on-site audit to perform one-on-one training with a Field Delegate. This will be a perfect time for the Field Delegate to broaden his/her contracting expertise, as well as bring up contracting issues and concerns that require clarity.
- The OCB team will also determine future training requirements based on the summation of Field Delegate audits and applied ratings given in each fiscal year.



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FIELD DELEGATE AUDIT PROCESS

FINAL AUDIT REPORT

- OCB will submit a final audit report to the following within 30 days after the audit—
 - 1) Field Delegate
 - 2) Field Delegate Supervisor
 - 3) Chief Financial Officer (CFO)
 - 4) Acquisition Liaison
- The audit report will include—
 - 1) Summary of Findings
 - 2) An assigned rating for each of the four categories and an overall audit rating
 - 3) Recommendations
 - 4) Action Required—CAP (if applicable)



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FIELD DELEGATE AUDIT PROCESS FINAL AUDIT REPORT

➤ **General Comment:**

The audit process is a team effort by OCB and the Field Delegates. OCB considers each audit a positive approach to assist the Field Delegates in applying simplified acquisition procedures to their contract executions.

➤ **The final audit report is the summation of the audit process and will reflect--**

- 1) how well the Field Delegate is currently performing (assigned rating)
- 2) individual recommendations each Field Delegate can perform to enhance contracting performance



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AUDIT REPORT

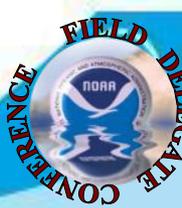
- Final audit report will only stipulate a Contracting Officer warrant suspension in extreme cases.

- Examples:
 - ✓ Field Delegate does not have the required FAC-C certification
 - ✓ Field Delegate executes a contract action that is not in compliance with the **law**
 - ✓ Field Delegate requires extensive training to increase his/her contracting knowledge



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FIELD DELEGATE AUDIT PROCESS

CORRECTIVE ACTION PLAN (CAP)

➤ **What is the Corrective Action Plan (CAP)?**

A plan of action to implement OCB's recommendations. The plan should be a timely response to OCB and inclusive of any required training/other actions that will reflect an immediate and ongoing progression in the Field Delegate's contracting expertise.

➤ **Who is responsible for preparation of the CAP?**

The Field Delegate in conjunction with his/her supervisor

➤ **OCB will furnish a suspense for receipt of the CAP (normally 10 or more days).**



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FIELD DELEGATE AUDIT SCHEDULE

- FY 09 AUDITS HAVE BEEN COMPLETED AND FOLLOW-UP AUDITS WILL BE PERFORMED DURING THIS FY 11.
- FY 10 AUDITS WILL BEGIN IN MAY 2011 AND RUN CONSECUTIVELY THROUGHOUT THE REMAINDER OF THIS CALENDAR YEAR.



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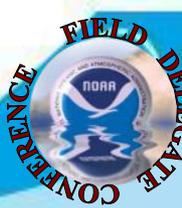




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*Awarding Stronger Acquisitions In
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